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DATE

October 13, 2004

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Office of Initial Patent Examination's Filing Receipt Corrections	U.S. Patent and Trademark Office	703-746-9195

TOTAL NO. OF PAGES	12
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CLIENT/MATTER NAME	U.S. Patent Appln. Serial No. 10/808,820
CLIENT/MATTER NO.	649087/0004

## MESSAGE

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Docket No.  
649087/0004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: James Worden Toffey

Group Art Unit: 3624

Application No.: 10/808,820

Examiner: N/A

Filed: March 25, 2004

For: **METHOD AND SYSTEM FOR EFFECTING  
STRAIGHT-THROUGH-PROCESSING OF TRADES OF VARIOUS  
FINANCIAL INSTRUMENTS**

Date: October 13, 2004

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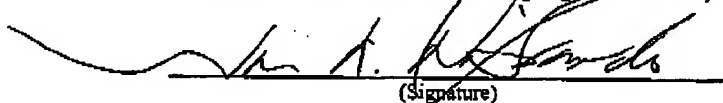
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# STROOCK

October 13, 2004

Ian G. DiBernardo  
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Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Attn: Office of Initial Patent Examination's  
Filing Receipt Corrections

Re: U.S. Patent Application Serial No. 10/808,820  
Applicant: James Worden Toffey  
For: METHOD AND SYSTEM FOR EFFECTING STRAIGHT-  
THROUGH-PROCESSING OF TRADES OF VARIOUS  
FINANCIAL INSTRUMENTS  
Attorney Docket No. 649087/0004

## REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir or Madam:

We have received a Filing Receipt for the above-identified patent application and have noted that there is an error in the Applicant(s) section of this Filing Receipt. Namely, James Toffey's middle name is misspelled.

In the Applicant(s) section of the Filing Receipt, please correct the spelling of the inventor's name as shown below, in which the middle name includes an "o", not an "a".

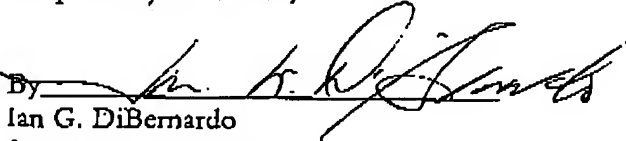
James Worden Toffey

In support, we enclose a copy of the Combined Declaration and Power of Attorney filed with the application in which Mr. Toffey corrected the spelling of his name. Also enclosed is the Recordation Form Cover Sheet and Notice of Recordation showing the correct spelling of the inventor's middle name. Applicant respectfully requests that the typographical error be corrected. A copy of the Filing Receipt with Applicants' requested correction indicated is also enclosed.

Serial No. 10/808,820  
October 13, 2003  
Page 2

Applicants further respectfully request that a new and corrected Filing Receipt be issued.

Respectfully submitted,

By 

Ian G. DiBernardo  
Registration No. 40,991  
Attorney for Applicants  
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180 Maiden Lane  
New York, New York 10038  
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Enclosures

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/808,820	03/25/2004	3624	1270	649087/004 SPB/RE	42	31	5

Steven B. Pokotilow  
Stroock & Stroock & Lavan LLP  
180 Maiden Lane  
New York, NY 10038

CONFIRMATION NO. 7594

## UPDATED FILING RECEIPT



\*OC000000013572545\*

Date Mailed: 08/18/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Worden  
James ~~Warden~~ Toffey, Summit, NJ;

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/457,845 03/25/2003

## Foreign Applications

If Required, Foreign Filing License Granted: 06/07/2004

Projected Publication Date: 11/25/2004

Non-Publication Request: No

Early Publication Request: No

## Title

Method and system for effecting straight-through-processing of trades of various financial instruments

## Preliminary Class

705

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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